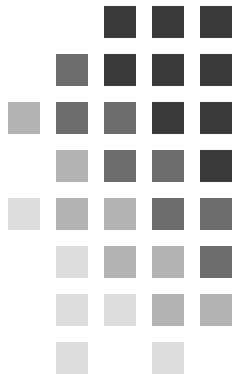




Office of the  
Chief Information Officer

# ANNUAL INFORMATION MANAGEMENT CONFERENCE RECORDS MANAGEMENT UPDATE



*SHARON A. EVELIN*

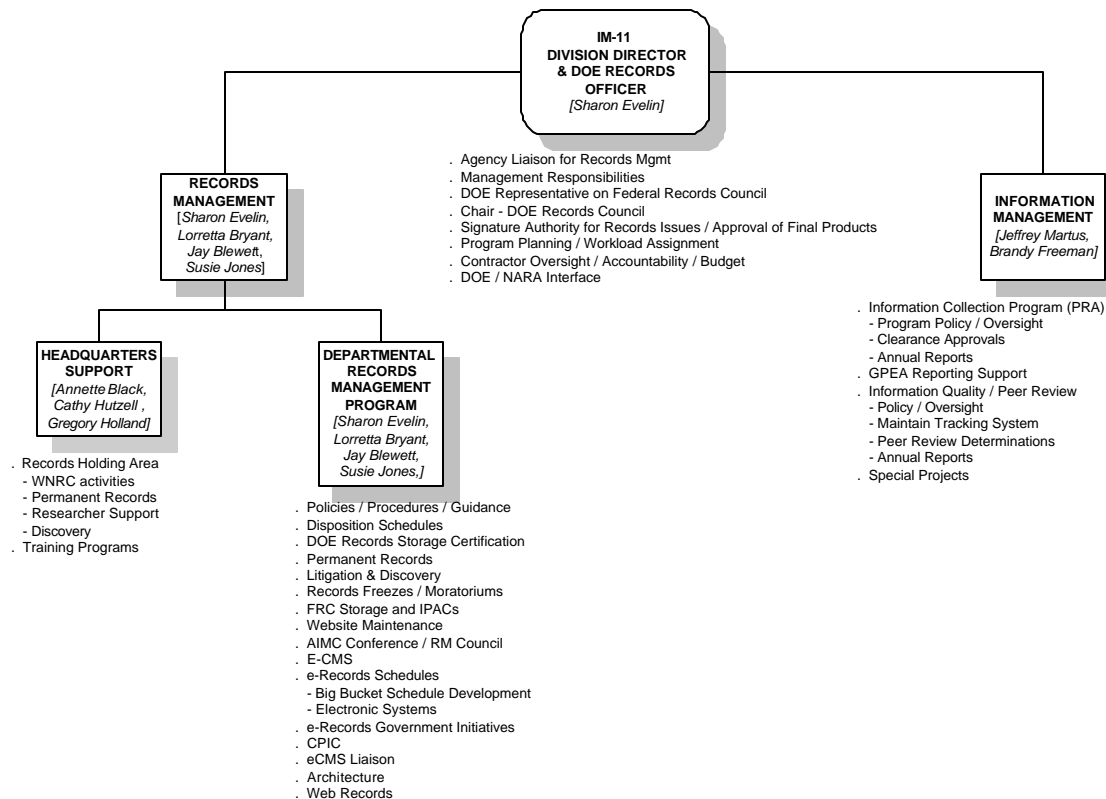
*DEPARTMENTAL RECORDS  
OFFICER*



Office of the  
Chief Information Officer

# RECORDS MANAGEMENT DIVISION

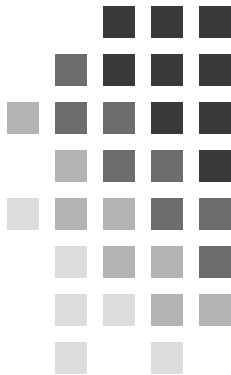
## RECORDS MANAGEMENT DIVISION FUNCTIONAL ORGANIZATION





Office of the  
Chief Information Officer

# RECORDS MANAGEMENT OVERVIEW



## DOE RECORDS MANAGEMENT OVERVIEW

### RECORDS MANAGEMENT RESPONSIBILITIES

#### BASIC RECORDS MANAGEMENT PROGRAM

(per 36 CFR XII)

- . Policy / Guidance
- . Oversight of HQ and Field Programs
- . Litigation and EH Support
- . Closing Site Issues
- . Records Disposition Schedules

#### NARA e-RECORDS & OTHER INITIATIVES

- . New Guidance
- . Major Projects
  - e-System Schedules
  - Storage Facility Certification

### INTEGRATION WITH IT INITIATIVES

#### DOE IT / RM TEAMING

- . CPIC
- . Enterprise Architecture
- . Taxonomy & Lines of Business
- . Web Records
  - . eCMS
  - . e-Mail



Office of the

Chief Information Officer

# FY2005-2006 ACCOMPLISHMENTS

- ❑ **POLICIES ISSUED: RECORDS MANAGEMENT & VITAL RECORDS ORDERS**
  - ❑ **POLICIES DRAFTED: WEB RECORDS & E-RECORDS MANUAL**
  - ❑ **ESTABLISHED WORKGROUP TO REVISE DISPOSITION SCHEDULES**
  - ❑ **ESTABLISHED CENTERS OF EXCELLENCE**
  - ❑ **REVISED RM REQUIREMENTS FOR THE CAPITAL PLANNING AND INVESTMENT CONTROL PROCESS (CPIC)**
  - ❑ **IDENTIFIED RECORDS ISSUES RELATED TO HSPD-12**
  - ❑ **REVISED FRC BILLING PROCESS**
-

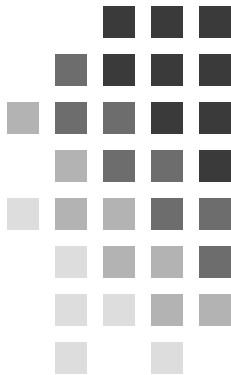


Office of the

Chief Information Officer

# FY 2006-2007 GOALS

- ❑ **COORDINATE DRAFT E-RECORDS MANUAL**
  - ❑ **IMPLEMENT AN RM BANNER FOR E-MAIL SYSTEMS/ADDRESS TRANSITORY E-MAIL MESSAGES**
  - ❑ **DEVELOP BUCKET SCHEDULE EXAMPLE FOR NARA/GC COORDINATION**
  - ❑ **ISSUE BASIC RECORDS MANAGEMENT HANDBOOK**
  - ❑ **EVALUATE RM IMPLEMENTATION THROUGHOUT THE DEPARTMENT**
  - ❑ **ASSIST WITH IMPLEMENTATION OF E-DOCS/ERMS AT HEADQUARTERS**
  - ❑ **REVISE OCIO/RECORDS MANAGEMENT WEBPAGE**
  - ❑ **ISSUE DIRECTIVE ON THE INFORMATION COLLECTION PROGRAM**
- 





Office of the

Chief Information Officer

# INSPECTOR GENERAL AUDIT REPORT (April 2005)

- ❑ Recommendations
  - Issue Policy and Guidance
    - ❑ **E-Records**
    - ❑ **E-Mail**
    - ❑ **System Lifecycle**
  - Corporate Solution To Eliminate Duplicate New and Legacy Systems
  - Management Support of the Program
- ❑ Addressed By the OCIO Through:
  - Policy
  - Evaluation
  - Program Assessments Targets (Performed By HQ Program Records Officials In FY06)
    - ❑ Eliminate Duplicate Legacy Records/Tracking Systems
    - ❑ Reduce Storage of Paper Records
    - ❑ Identify Best Practices/Cost Savings



Office of the

Chief Information Officer

# SCHEDULE REVISION INITIATIVE

- ❑ **DEPARTMENTAL WORKGROUP**
  - **LEAD BY SAVANNAH RIVER**
  - **CORE TEAM ESTABLISHED TO DEVELOP DRAFTS**
- ❑ **USE NARA'S FLEXIBLE SCHEDULE GUIDANCE**
- ❑ **BUCKET CONCEPT W/O RETENTION BANDS**
- ❑ **PRODUCTS WILL BE ALL INCLUSIVE (NO SEPARATE GRS)**
- ❑ **CUT-OFF INSTRUCTIONS ONLY WHEN NECESSARY**
- ❑ **COORDINATE WITH FEDERAL ENTERPRISE ARCHITECTURE**
  - **DOE LINES OF BUSINESS/DATA REFERENCE MODEL**
- ❑ **CORE TEAM WILL MEET DURING AIMC W/ APRIL/MAY FOLLOW-UP MEETING**



Office of the

Chief Information Officer

# E-DOCS/ERMS

- ❑ **PART OF THE E-CONTENT MANAGEMENT SYSTEM INITIATIVE MANAGED BY THE OFFICE OF THE CHIEF FINANCIAL OFFICER (CFO)**
- ❑ **RECORDS MANAGEMENT SUPPORT WILL BE PROVIDED BY THE OCIO, RECORDS MANAGEMENT DIVISION**
- ❑ **IMPLEMENTATION BEGAN WITH E-DOCS THE OFFICE OF EXECUTIVE SECRETARIAT**
- ❑ **HEADQUARTERS PROGRAM OFFICES HAVE “CABINETS” IN THE SYSTEM**
- ❑ **RECORDS MANAGEMENT PIECE WILL BE ADDRESSED IN LATE FY2006/EARLY 2007.**
- ❑ **OCIO POINT OF CONTACT: FLO ARNOLD (301-903-5965)**





Office of the

Chief Information Officer

# OTHER PROJECTS

- ❑ **IMPLEMENTING PEER REVIEW REQUIREMENTS UNDER THE INFORMATION QUALITY PROGRAM**
  - ❑ **DEVELOPING EXAMPLES OF SCHEDULES FOR ELECTRONIC INFORMATION SYSTEMS**
  - ❑ **REVIEWING NARA'S REPORT OF THE LABS' IMPLEMENTATION OF THE R&D SCHEDULE**
  - ❑ **ENCOURAGING COMPLETION OF PROGRAM SELF-ASSESSMENTS (2005) & PROVIDING GUIDANCE ON PROGRAM ASSESSMENTS (FY 2006)**
  - ❑ **POSITIONING RECORDS MANAGEMENT UNDER OCIO RESIDUAL ORGANIZATION**
  - ❑ **IMPROVING OCIO/RM GRADE STRUCTURE**
  - ❑ **PARTICIPATING ON ADVISORY COUNCIL TO THE ARCHIVIST**
  - ❑ **ASSISTING GENERAL COUNSEL WITH DISCOVERY ACTIVITIES**
-



Office of the

Chief Information Officer

---

# TARGETS

- ☐ **ASSESS/ADDRESS POLICY NEEDS**
  - ☐ **ENCOURAGE HEADQUARTERS/FIELD COMMUNICATION**
  - ☐ **REVISE/IMPROVE RECORDS SCHEDULES**
  - ☐ **ASSESS/IMPROVE PROGRAM COMPLIANCE**
  - ☐ **IMPLEMENT ENTERPRISE EDM/ERM SYSTEM**
- 

